

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
36287-00700

In Re Application Of:

David A. Seaman

#2

CC-973 U.S. PTO  
09/769979  
01/25/01

Serial No.  
To be assigned

Filing Date  
Herewith

Examiner

Group Art Unit

Title:

**METHOD AND SYSTEM FOR ADMINISTERING A DISCOUNTED SECURITY**

Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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David A. Seaman

JC973 U.S. PTO  
099769979  
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Examiner

Group A

Title:

**METHOD AND SYSTEM FOR ADMINISTERING A DISCOUNTED SECURITY**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 13-3250 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_)

on \_\_\_\_\_  
(Date)

Signature

Typed or Printed Name of Person Signing Certificate

\*This certificate may only be used if paying by deposit account.

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on January 25, 2001 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Hildere Jean-Louis

Typed or Printed Name of Person Mailing Correspondence

Signature

Dated: January 25, 2001

Chris L. Holm, Esq.  
Registration No. 39,227  
Milbank, Tweed, Hadley & McCloy LLP  
1 Chase Manhattan Plaza  
New York, NY 10005-1314

CC:

**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

Docket Number (Optional)

36287-00

Application Number

To be Assigned

Applicant(s)

David A. Seaman

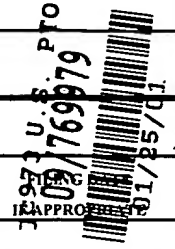
Filing Date

Herewith

Group Art Unit

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS



**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

1	Prospectus Supplement No. 150, The Goldman Sachs Group, Inc, Medium -Term Notes, Series B, October 25, 2000
2	Prospectus, Holders Semiconductor, Merrill Lynch & Co., A.G. Edwards & Sons, Inc., May 4, 2000

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>		Docket Number (Optional) <b>36287-001</b>		Application Number <b>To be assigned</b>	
		Applicant(s) <b>David A. Seaman</b>			
		Filing Date <b>Herewith</b>		Group Art Unit	
*EXAMINER INITIAL		OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>			
3		Prospectus, Pricing Supplement No. 53, Morgan, Stanley Dean Witter & Co., Medium Term Notes, Series C, March 30, 2000			
4		Prospectus Supplement, Securities Jefferson-Pilot Corporation, Golden, Sachs & Co., Merrill Lynch & Co., November 27, 1995			
EXAMINER		DATE CONSIDERED			
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					